

**PATENTS****IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Ronald A. Katz )  
Serial No.: 08/476,662, ) Examiner in Parent:  
Filed: June 7, 1995 ) T. Brown  
For: TELEPHONIC-INTERFACE ) Art Unit: 2601  
STATISTICAL ANALYSIS SYSTEM )  
Docket No.: 6646-101NF )

#4C

R. Logan  
11-16-95**PRELIMINARY AMENDMENT**

707 Wilshire Blvd., 32nd Floor  
Los Angeles, CA 90017  
October 17, 1995

RL

11-29

Assistant Commissioner  
for Patents  
Washington, DC 20231

Sir:

Prior to examination please amend the above-identified  
application as follows:

**IN THE SPECIFICATION:**

On page 1, line 2, of the first paragraph, after "This,"  
insert ~~is~~ is a continuation application of Application Serial No.  
07/335,923 filed April 10, 1989, and entitled "Telephonic-  
Interface Statistical Analysis System", which <sup>is</sup> ~~was~~ a continuation  
of Application Serial No. 07/194,258 filed May 16, 1988, and  
entitled "Telephonic-Interface Statistical Analysis System", now  
U.S. Patent No. 4,845,739, which ~~is~~.

On page 1, line 2, of the first paragraph, before the number "018,244" insert --07/--.

On page 1, line 5, of the first paragraph, after "Facility" insert --, now U.S. Patent No. 4,792,968,--.

On page 1, line 6, of the first paragraph, before the number "753,299" insert --06/--.

On page 1, line 7, of the first paragraph, after "1985" insert a --,--.

IN THE CLAIMS:

Please cancel claim 1, without prejudice, and add the following new claims 29-49.

504736  
505079

- 18 6 6 29. A process for controlling an interface with a  
2 ~~communication~~ facility, said process including the steps of:  
3 providing products carrying participation numbers  
4 specifying limits on use to entitle individual callers to  
5 access said interface with said communication facility;  
6 coupling remote terminals to said interface for  
7 providing voice signals to said individual callers as to  
8 provide vocal operating instructions to said individual  
9 callers;  
10 receiving digital identification data from said  
11 individual callers responsive to said voice signals  
12 including said participation numbers for said individual  
13 callers and answer data provided from said remote terminals

C

14 under control of said individual callers;  
15 qualifying said individual callers by testing to  
16 determine if said individual callers are entitled to access  
17 said interface based on said limits on use specified by said  
18 participation numbers for said individual callers and  
19 accordingly providing approval signals for qualified  
20 individual callers;  
21 accessing a memory with said participation numbers for  
22 said individual callers and storing data relating to calls  
23 from said individual callers, and  
24 processing at least certain of said answer data and  
25 said identification data responsive to said approval signals  
26 to isolate a subset of individual callers. *AK*

*C2*  
*cont'd*  
*Sub*  
*FD*  
1 *30.* A process according to claim 29, wherein a limit on  
2 use with respect to each of said callers specifies a  
3 predetermined number of calls. *AK*

*3*  
1 *31.* A process according to claim 29, wherein a limit on  
2 use with respect to each of said individual callers specifies a  
3 predetermined dollar amount. *AK*

*Sub*  
*D3*  
1 *32.* A process according to claim 29, wherein said  
2 communication facility automatically provides called terminal  
3 digital data (DNIS) to identify a specific format for executing  
4 said interface. *AK*

49

1 <sup>Sub</sup> ~~33~~. A process according to claim 29, wherein said  
2 <sup>G2</sup> communication facility automatically provides calling terminal  
3 digital data to identify said remote terminals. ~~4~~

1 <sup>6</sup> ~~34~~. A process according to claim <sup>5</sup> ~~33~~, wherein said calling  
2 terminal digital data is stored in said memory. ~~4~~

1 <sup>Sub</sup> ~~35~~. A process according to claim ~~34~~, wherein said calling  
2 <sup>D4</sup> terminal digital data is tested to control access to said  
3 interface. ~~4~~

1 <sup>C2</sup> ~~36~~. A controlled interface system for use with a  
2 telephonic communication facility including remote terminals for  
3 individual callers, wherein said remote terminals may comprise a  
4 conventional telephone instrument, and wherein said telephone  
5 communication facility may provide called terminal digital data  
6 (DNIS) signals, said controlled interface system comprising:  
7 function unit means for supplying information in  
8 various formats, at least one of said formats for isolating  
9 a subset of callers;

10 interface means for interfacing said telephonic  
11 communication facility with said function unit means for  
12 voice and digital communication including means to receive  
13 terminal formed digital signals and means to provide signals  
14 representative of vocal communication to individual callers;  
15 and

16 coupling means for coupling a caller at a terminal  
17 through said interface means to said function unit means for  
18 selective communication in accordance with a specific one of  
19 said formats under control of said called terminal digital  
20 data (DNIS) signals. +2

1 437. An analysis control system for use with a  
2 communication facility including remote terminals for individual  
3 callers, wherein said remote terminals may comprise a  
4 conventional telephone instrument including voice communication  
5 means, and digital input means in the form of an array of  
6 alphabetic numeric buttons for providing data, said analysis  
7 control system comprising:

8 an interface structure coupled to said communication  
9 facility to interface said remote terminals for voice and  
10 digital communication, and including means to provide caller  
11 data signals representative of data relating to said  
12 individual callers developed by said remote terminals and  
13 means to receive calling terminal digital data automatically  
14 provided by said communication facility;

15 voice generator structure coupled through said  
16 interface structure for actuating said remote terminals as  
17 to provide vocal operating instructions to said individual  
18 callers;

19 record structure, including memory and control means,  
20 connected to receive said caller data signals from said

21 interface structure for accessing a file and storing digital  
22 data relating to said individual callers provided from said  
23 digital input means through said interface structure to  
24 store designations of said individual callers including  
25 representations indicative of the calling order sequence of  
26 said individual callers, said record structure also  
27 including a database of stored calling terminal digital  
28 data; and

29 qualification structure controlled by said record  
30 structure for restricting the extent of access to said  
31 system by said individual callers based on a comparison of  
32 said calling terminal digital data against said database of  
33 stored calling terminal digital data.

9  
1 ~~38.~~ An analysis control system according to claim <sup>8</sup> ~~37~~,  
2 wherein said individual callers provide personal identification  
3 number data as caller data signals.

1 ~~39.~~ An analysis control system according to claim 38,  
2 wherein said calling order sequence is indicative of caller  
3 transaction order data.

1 ~~40.~~ An analysis control system for use with a  
2 communication facility including remote terminals for individual  
3 callers, wherein each of said remote terminals may comprise a  
4 conventional telephone instrument including voice communication

5 means, and digital input means in the form of an array of  
6 alphabetic numeric buttons for providing data, said analysis  
7 control system comprising:

8 an interface structure coupled to said communication  
9 facility to interface each of said remote terminals for  
10 voice and digital communication, and including means to  
11 provide caller data signals representative of data relating  
12 to said individual callers developed by said remote  
13 terminals and including means to automatically receive  
14 calling terminal digital data from said communication  
15 facility;

16 voice generator structure coupled through said  
17 interface structure for actuating each of said remote  
18 terminals as to provide vocal operating instructions to each  
19 of said individual callers;

20 record structure, including memory and control means,  
21 connected to receive said caller data signals from said  
22 interface structure for accessing a file; and

23 designation structure coupled to said interface  
24 structure and said record structure for developing  
25 individual designations for said individual callers,  
26 indicative of caller significance in order to isolate a  
27 subset of calling remote terminals. ~~44~~

1 ~~44~~41. An analysis system for use with a communication  
2 facility including remote terminal apparatus for individual

3 callers, wherein said remote terminal apparatus may comprise a  
4 conventional telephone instrument including voice communication  
5 means, and digital input means in the form of an array of  
6 alphabetic numeric buttons for providing identification and  
7 answer data, said analysis system comprising:

8 interface means selectively coupled to said  
9 communication facility to interface said terminal apparatus  
10 for voice and digital communication and including means to  
11 provide signals values from data developed by said terminal  
12 apparatus;

13 voice generator means selectively coupled through said  
14 interface means to said terminal apparatus for providing  
15 vocal operating instructions to said individual callers;

16 designation means selectively coupled to said interface  
17 means for assigning individual designations to said  
18 individual callers; and

19 processing means for providing processing data, and  
20 storage means for registered processing data, said  
21 processing means for isolating a subset based on repeated  
22 comparisons of said registered processing data and  
23 processing data associated with said individual callers.

00476763-060795  
C27  
CONFIDENTIAL

1 <sup>sup</sup> 42. An analysis control system according to claim 41,  
2 <sup>G5</sup> wherein said designation means includes means for storing  
3 sequence data indicative of the calling sequence of said  
4 individual callers.



1 <sup>Sub</sup> ~~43.~~ An analysis control system according to claim 41,  
 2 <sup>D6</sup> wherein said voice generator means is driven to prompt said  
 3 certain select ones of said individual callers to provide  
 4 telephone number data for storage. ~~42~~

1 <sup>Sub</sup> ~~44.~~ An analysis control system according to claim 41,  
 2 <sup>G6</sup> wherein said processing means processes said processing data in  
 3 combination with said identification and answer data. ~~42~~

1 <sup>Sub</sup> ~~45.~~ An analysis control system according to claim 41,  
 2 <sup>D7</sup> further comprising:  
 3 transfer means for transferring certain of said  
 4 individual callers to a terminal attended by an operator. ~~62~~

1 <sup>Sub</sup> ~~46.~~ An analysis control system according to claim 45,  
 2 <sup>G7</sup> wherein said operator enters at least certain of said processing  
 3 data for said certain of said individual callers. ~~62~~

1 <sup>18</sup> ~~47.~~ An analysis control system according to claim <sup>12</sup> ~~41~~,  
 2 wherein said storage means stores caller provided digital data  
 3 and voice data. ~~42~~

1 <sup>19</sup> ~~48.~~ An analysis control system according to claim <sup>12</sup> ~~41~~,  
 2 wherein said answer data includes caller personal identifying  
 3 data. ~~42~~



1 Sub  
D8 449. An analysis control system according to claim 48,  
wherein said repeated comparisons include processing of multiple  
personal identifying data.

C2  
Dncl  
3

REMARKS

By this preliminary amendment, claim 1 is canceled, without prejudice and claims 29-49 are presented for examination. Claims 2-16 were previously canceled in the Request for Filing a Continuation Application under 37 C.F.R. § 1.60 (b) submitted on June 7, 1995. Favorable consideration and allowance of claims 29-49 is respectfully requested.

Respectfully submitted,

NILSSON, WURST & GREEN

By:

*Reena Kuyper*

Reena Kuyper  
Registration No. 33,830

Tel: (213) 243-8000  
Docket No. 6646-101NF

6646\101nf.FRB

Law Offices of  
NILSSON, WURST & GREEN  
Wilshire Boulevard, 32nd Floor  
Los Angeles, CA 90017

TELEPHONE: (213) 243-8000  
FACSIMILE: (213) 243-8050

# **FACSIMILE TRANSMITTAL COVER SHEET**

TO: ASSISTANT COMMISSIONER OF PATENTS  
EXAMINER: Mr. T. Brown  
GROUP 2601  
308-5399  
(703) 205-2808

FAX NUMBER: (703) 205-2808

FROM: REENA KUYPER, REG. NO. 23,830

DATE: October 17, 1995

SUBJECT: U.S. Serial No. 08/475,662

OUR DOCKET NUMBER: 8848-101NF

YOUR REFERENCE NUMBER:

## **SPECIAL INSTRUCTIONS:**

Please see the attached.

**IMPORTANT/CONFIDENTIAL:** This message is intended only for the use of the individual or entity to whom it is addressed. This message contains information from the law firm of NILSSON, WURST & GREEN which may be privileged, confidential or exempt from disclosure under applicable law. If the reader of this message is not the intended recipient, or the employee, or agent responsible for delivering the message to the intended recipient, you are hereby notified that any dissemination, distribution or copying of the communication is strictly prohibited. If you have received this communication in error, please notify us immediately at our telephone number listed above. We will be happy to arrange for the return of this message to our office at no cost to you.

WE ARE TRANSMITTING 12 PAGES, INCLUDING THIS COVER PAGE.

WE TRANSMIT AND RECEIVE ON A XEROX 7033. OUR FAX NUMBER IS (213) 243-8050. IF THERE ARE TRANSMISSION PROBLEMS, PLEASE TELEPHONE (213) 243-8000.

FOR N.W. & G. USE ONLY:  
Fax Sent: Time: \_\_\_\_\_

By: \_\_\_\_\_

## **TRANSMISSION REPORT**

THIS DOCUMENT WAS CONFIRMED  
(REDUCED SAMPLE ABOVE - SEE DETAILS BELOW)

**\*\* COUNT \*\***

TOTAL PAGES SCANNED : 14  
TOTAL PAGES CONFIRMED : 14

\*\*\* SEND \*\*\*

No.	REMOTE STATION	START TIME	DURATION	#PAGES	MODE	RESULTS
1	703 308 5399	10-17-95 9:57AM	31'41"	7/ 14	EC	COMMUNICATION ERROR E213 14400 0518
2	703 308 5399	10:31AM	1'52"	7/ 14	EC	COMPLETED END OF RESEND 14400

TOTAL 0:33'33" 14

NOTE:

No. : OPERATION NUMBER 48 : 4800BPS SELECTED EC : ERROR CORRECT G2 : G2 COMMUNICATION  
PD : POLLED BY REMOTE SF : STORE & FORWARD RI : RELAY INITIATE RS : RELAY STATION  
MB : SEND TO MAILBOX PG : POLLING A REMOTE MP : MULTI-POLLING RM : RECEIVE TO MEMORY

Law Offices of  
NILSSON, WURST & GREEN  
707 Wilshire Boulevard, 32nd Floor  
Los Angeles, CA 90017

TELEPHONE: (213) 243-8000  
FACSIMILE: (213) 243-8050

**FACSIMILE TRANSMITTAL COVER SHEET**

TO: ASSISTANT COMMISSIONER OF PATENTS  
EXAMINER: Mr. T. Brown  
GROUP 2601  
308-5399  
FAX NUMBER: (703) 305-9508

FROM: REENA KUYPER, REG. NO. 33,830

DATE: October 17, 1995

SUBJECT: U.S. Serial No. 08/476,662

OUR DOCKET NUMBER: 6646-101NF

YOUR REFERENCE NUMBER:

**SPECIAL INSTRUCTIONS:**

Please see the attached.

**IMPORTANT/CONFIDENTIAL:** This message is intended only for the use of the individual or entity to whom it is addressed. This message contains information from the law firm of NILSSON, WURST & GREEN which may be privileged, confidential or exempt from disclosure under applicable law. If the reader of this message is not the intended recipient, or the employee, or agent responsible for delivering the message to the intended recipient, you are hereby notified that any dissemination, distribution or copying of the communication is strictly prohibited. If you have received this communication in error, please notify us immediately at our telephone number listed above. We will be happy to arrange for the return of this message to our offices at no cost to you.  
**WE ARE TRANSMITTING 14 PAGES, INCLUDING THIS COVER PAGE.**

**WE TRANSMIT AND RECEIVE ON A XEROX 7033. OUR FAX NUMBER IS (213)243-8050.  
IF THERE ARE TRANSMISSION PROBLEMS, PLEASE TELEPHONE (213)243-8000.**

**FOR N,W & G USE ONLY:**

Fax Sent: Time: \_\_\_\_\_

By: \_\_\_\_\_

PATENTSIN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Ronald A. Katz )  
Serial No.: 08/476,662 )  
Filed: June 7, 1995 ) Examiner in Parent:  
For: TELEPHONIC-INTERFACE ) T. Brown  
STATISTICAL ANALYSIS SYSTEM ) Art Unit: 2601  
Docket No.: 6646-101NF )

CERTIFICATE OF FACSIMILE TRANSMISSION

707 Wilshire Blvd., 32nd Floor  
Los Angeles, CA 90017  
October 17, 1995

Assistant Commissioner  
for Patents  
Washington, D. C. 20231

Sir:

I hereby certify that the following papers are being  
transmitted by facsimile to the U.S. Patent and Trademark Office  
on the date shown below:

1. TRANSMITTAL LETTER (2 pages)
2. PRELIMINARY AMENDMENT (10 pages)

October 17, 1995  
Date

Reena Kuyper  
Reena Kuyper, Reg. No. 33,830

6646/114N2.FAX

PATENTSIN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Ronald A. Katz )  
 Serial No.: 08/476,662 )  
 Filed: June 7, 1995 ) Examiner in Parent:  
 For: TELEPHONIC-INTERFACE ) T. Brown  
 STATISTICAL ANALYSIS SYSTEM ) Art Unit: 2601  
 Docket No.: 6646-101NF )

TRANSMITTAL LETTER

707 Wilshire Blvd., 32nd Floor  
 Los Angeles, CA 90017  
 October 17, 1995

Assistant Commissioner  
 for Patents  
 Washington, D. C. 20231

Sir:

Transmitted herewith is a Preliminary Amendment for the  
 above-identified case.

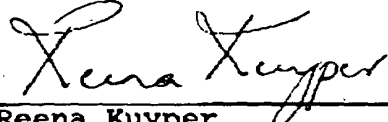
The fee for claims has been calculated as shown:

	Claims Remaining After Amendment	Highest Number Previously Paid For	Extra Present	Rate Small Entity	Large Entity	Additional Fee
Total	21	- 20	= 0	x 11	x 22	= \$ 22
Indep.	5	- 3	= 2	x 39	x 78	= \$ 156
1st presentation of multiple dep. claim + 125						+ 250 = \$ 0
Total additional fee						\$ 178

Please charge the fee in the amount of \$178 for additional claims to Deposit Account 14-1105. Also, please charge any deficiencies in connection with this communication, including any filing fees under 37 C.F.R. \$1.16 for the presentation of extra claims and any patent application processing fees under 37 C.F.R. \$1.17, or credit any overpayment, to Deposit Account 14-1105.

Respectfully submitted,  
NILSSON, WURST & GREEN

By:

  
Reena Kuyper  
Registration No. 33,830

Tel: (213) 243-8000  
Docket No. 6646-101NF

6646101NF.TRI

6646101NF.TRI